

Documenting for Performance and Discipline

MANAGEMENT IN STATE GOVERNMENT

**Participant's Manual
Comprehensive Public Training Program (CPTP)
State of Louisiana**

Revised 2/1/09

Documenting for Performance and Discipline

MANAGEMENT IN STATE GOVERNMENT

Comprehensive Public Training Program (CPTP)

**Sponsored by the Governor's Office, Division of Administration
& the Department of State Civil Service**

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<p><u>NOTE:</u> Civil Service Rules may be found on the Internet at the following web site: www.civilservice.louisiana.gov</p>

<u>COURSE DESCRIPTION:</u>	<u>LEARNING OUTCOMES:</u>
<p>This class is designed to aid in the development of documentation skills required of supervisors.</p> <p>Participants will learn the difference between the standards of documentation necessary for <u>non-disciplinary actions</u> (such as PPR), not granting merit increases, letters of counseling, and removal of probational employees) <u>versus</u> the standards necessary for <u>disciplinary action</u>.</p> <p>Participants will learn to use job tools and procedures for ensuring accuracy and consistency in documentation. They will improve their skills through practice in documenting hypothetical workplace occurrences.</p>	<ol style="list-style-type: none"> 1. Learn the difference between documentation standards for disciplinary actions versus non-disciplinary actions. 2. Learn how to objectively document by listing examples of observable behavior versus stating subjective conclusions. 3. Improve skills through practice in documenting hypothetical workplace occurrences, especially relating to PPR (Performance, Planning and Review). 4. Learn the legal basis for disciplinary actions. 5. Learn a method to document successfully for disciplinary actions

BRAINSTORMING SESSION

Why is documentation for performance and discipline necessary in the workforce? Include some consequences of failing to document properly.



1.

2.

3.

4.

5.

6.

7.

Notes:

DIFFERENCES BETWEEN PPR RATINGS AND DISCIPLINE

	PPR RATINGS	DISCIPLINE
Purpose	Assess / Communicate / Change	Correct / Punish
Consequence	Nothing is taken away.	Something is taken away.
Procedure	CS Rules – Chapter 10	CS Rules – Chapter 12
Appeal Rights	After agency review, direct appeal to the Director of Civil Service or his designee	Direct appeal to the Civil Service Commission
Basis	Rational basis. Documentation needed. Must be communicated to employee.	Cause (legal concept) Detailed reasons needed. Must be communicated to employee. Requires due process.

NOTE: An employee who is given a “Poor” or “Needs Improvement” rating is not automatically subject to disciplinary action. In other words, unacceptable PPR ratings and disciplinary action do not have an automatic link that “kicks in” with time. If the poor performance/conduct deserves disciplinary action, the agency has to take separate, official disciplinary action.

NOTE: Civil Service appeals for disciplinary actions, etc., are addressed later in this booklet. The procedures for PPR reviews and appeals to the Director of Civil Service are addressed in Civil Service rules 10.13 and 10.14.

DIFFERENCES BETWEEN DOCUMENTING FOR PERFORMANCE AND DISCIPLINE

(Video by Robert Boland, General Counsel, Department of Civil Service)

There are differences between documenting for PPR (performance Planning and review) and documenting to discipline an employee, although the same basic principles apply to both. The primary purpose of PPR is to improve two-way communication and feedback between the supervisor and employee. Its purposes include informing employees and assessing and changing their performance and behavior. On the other hand, disciplinary actions are adverse actions used to correct and punish employees.



Property vs. Non-property

Permanent employees possess “property rights” to their jobs and pay. These can be taken away only for “cause”, which involves due process. The employee must be given prior written detailed reasons for the action so that it is possible to defend himself. He must be given a chance to give his side of the story before any disciplinary action can be taken.

Non-property includes an employee’s job-related expectations or hopes for which he has NO constitutional rights or guarantee. These include the hopes for a merit increase, a promotion, a good PPR rating, and the gaining of permanent status.



Detailed, Written Reasons for Cause

To discipline or remove a permanent employee means to take property away from him. If this is done, the employee must be given due process, which involves telling him in writing what the specific charges are against him, and what action the appointing authority is proposing to take. A general summary of the charges, such as “You have been insubordinate.” is not sufficient. The employee must be given sufficient written details so that he can defend himself against the charges. The detailed reasons must state the conduct, as well as the day(s), time(s) and place(s) it occurred.

DOCUMENTATION AND COMMUNICATION FOR PPR



The goal of the PPR process is to help the employee be a better employee. Wise use of the PPR process is absolutely necessary for good supervision. Communication and feedback between the supervisor and employee should be ongoing year around. PPR ratings (not necessarily specific numerical ratings) should not come as a surprise to the employee. Ratings, especially if “Poor” or “Needs Improvement” need to have **documentation** to support them.

A supervisor should keep all written communication to the employee (e-mails, letters of counseling, compliments, etc.) during the rating year. To document verbal communication, during the rating year, the supervisor should keep notes made at or about the time of discussions with the employee about his behavior, especially if the behavior may result in PPR ratings the employee is likely to challenge.



Rational Basis

A documented, rational basis is needed to support a PPR rating. A rational basis for an action is a job-related reason that makes sense. “Rational basis” documentation also applies to documenting for the following, which do not take away property from an employee.

- **Withholding merit increases.** These are not automatic. They should be deserved. The agency may withhold or postpone a merit increase if the employee’s work or conduct is not acceptable. This can be a powerful incentive for the employee to either improve his behavior or leave the job.
- **PPR ratings of “Poor” or “Needs Improvement.”**
- **Improvement Letters.** An appointing authority may issue these letters to attempt to improve an employee’s conduct. An employee may respond in writing to an improvement letter. The employee’s response must be attached to each copy of the letter kept by the agency. If the same or similar conduct recurs, an improvement letter can be used to support the severity of future discipline, but only if the letter advised the employee that the letter would be used for this purpose and advised the employee of his right to respond. These letters are **not** disciplinary actions and may not be included in any publicly accessible personnel record until used to support future discipline.

- **Separation of probationary employees.** The probationary period is a working test period. Depending on an agency's policy, an employee may be on probation from six (6) months to a maximum of 24 months. An employee who is not fully satisfactory may be separated at any time during the probationary period. Such employees have very limited rights of appeal to Civil Service.
- **Not promoting someone.**

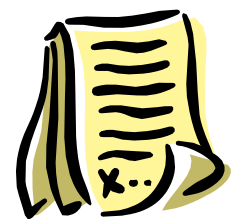
DOCUMENTING FOR PPR

1. WORKING DEFINITION OF PPR DOCUMENTATION - Anything tangible that establishes the reasons for your ratings.

2. Types of PPR documentation

(Note: There is NO OFFICIAL documentation tool for PPR!)

- Personal observations and notes made during the rating period
- Employee performance log (example in this booklet)
- Assignment sheet (example in this booklet)
- Compliments or complaints received regarding the employee's performance
- E-mails to and from your employees, certificates of appreciation, etc.
- Samples of the employee's work
- Computer printout of absences; copies of timesheets
- Training given employee
- Notes of any counseling session
- Make notes on a calendar or daily planner or clipboard.
- Improvement Letters; supervisory plans
- Employee's position description
- Office policies and procedures, if applicable



CONFIDENTIAL RECORDS: PPR ratings and comments, notes from counseling sessions and observations, and Improvement Letters need to be kept in a private, confidential place. If these are maintained on your computer, they should be password protected.

***AND REMEMBER, MAKE A NOTE WHEN YOU DISCUSS
PERFORMANCE OR BEHAVIOR WITH THE EMPLOYEE!***

It can be something as simple as the following example: “I discussed with Mary the errors she has been making taking telephone messages recently. They include: a) the incorrect number for Matthew Hughes; b) the missing area code for Marie Owen, and, c) no last name for the caller “Kate” this a.m. She indicated she would pay more attention in the future. (Date - April 3, 2005). There is no requirement that you provide a copy of your note to the employee, though many supervisors do. Some choose to have the employee initial to indicate that the discussion took place.

CIVIL SERVICE APPEAL OF BESSON - DOCKET NO. 14296

(Relating to documentation required for PPR ratings)

This appeal involved former Civil Service Rule 10.6(a), which required the rating supervisor to provide documentation to support any rating of “Needs Improvement” or “Poor.” The issues were:

- a. What is “documentation”?
And
- b. How is it to be provided to the employee?



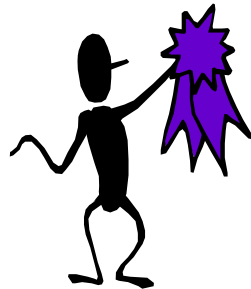
The Commission concluded:

- “Documentation” in Rule 10.6(a) “refers to the comments by the supervisor on the PPR form itself, made at the end of the rating period.” But, this will not be sufficient unless the supervisor communicated with the employee, during the rating period, about the behavior commented upon on the rating.
- When the communication between the supervisor and the employee during the rating period was in writing, Rule 10.6(a) does not require these communications to be attached to the PPR form, but will be needed if the employee seeks review of the rating.
- When the communication between the supervisor and the employee during the rating period was verbal, Rule 10.6(a) does not require the supervisor to list the communications that occurred. However, Rule 10.6(a) does require that the rating supervisor be able to show – by notes written at or around the time of the discussion – that the behavior commented upon on the PPR form was discussed with the employee during the rating year. These notes do not have to be attached to the PPR form, but will be needed if the employee seeks review of the rating.

DO'S AND DON'TS FOR DOCUMENTING FOR PPR

DO'S:

1. Keep a written performance log for each employee all through the year, filing each in a separate folder maintained for every employee. A new file should be started for an employee at the beginning of each appraisal period. Keep this log in the folder, as well as a copy of anything of note that your employee submits to you. You do not have to show this folder to the employee.
2. Involve your employees in the documentation process. Have them keep their own file, documenting their performance, especially any "Kudos" they receive. At rating time, ask the employee for his notes and combine them with your own from your supervisory file. This gives the employee ownership in the process.



**You get what
you reward.**

3. Record events immediately after they happen. Be more concerned about recording facts than spelling and grammar.
4. Record both positive AND negative events.
5. For negative events, give the employee an opportunity to give his side of the story.
6. Write facts you observe that are related to the job.

If you say it, write it.

If you write it, say it.

7. Be specific. Write dates, what happened, your response, and feedback from the employee, if applicable.
8. Maintain examples of work, both good and bad. Examples of substandard work are among the best types of documentation for ratings.
9. Keep e-mails (good and bad), certificates of appreciation, agency rewards concerning performance, etc.
10. Keep copies of employees' certificates for training classes and a record of conferences attended.
11. Keep copies of improvement letters issued by the appointing authority.
12. If you think that disciplinary action may ultimately result from substandard performance, document deficiencies in the detail needed for disciplinary actions.

DON'TS:



1. Do NOT write subjective remarks that indicate your feelings or conclusions, such as the employee is “lazy,” or “has a bad attitude” or has “personality problems.”
2. Do NOT document rumors.
3. Do NOT document events about some employees but ignore others.
4. Do NOT leave out important details about what happened, particularly if doing so would reflect your personal feeling.
5. Do NOT wait until the end of the appraisal period to start documenting.

DOCUMENT BEHAVIOR, NOT CONCLUSIONS OR ATTITUDES

Document specifically what you see, hear, smell, or touch. (Use the senses.)
Don't state the subjective conclusions. Examples:

<i>Conclusions</i>	<i>Observable Behavior/what's determined by senses</i>
1. Drunk	<input type="checkbox"/> Frequently smell alcohol on his breath. <input type="checkbox"/> Stumbles, weaves when he walks. <input type="checkbox"/> Slurs words...incoherent in speech. <input type="checkbox"/> Frequently sleeps or dozes off.
2. Insubordinate	<input type="checkbox"/> Refuses to follow work orders. <input type="checkbox"/> Questions, argues or takes issue with what he's told to do. <input type="checkbox"/> Frequently responds to work assignments by asking "Why me?" or "Why don't you assign this to someone else?" or "I don't want to do it. It's not fair." <input type="checkbox"/> Makes frequent excuses for not obeying orders. <input type="checkbox"/> Uses body language such as rolling his eyes, sighing, or making angry facial expressions when given an instruction. <input type="checkbox"/> Answers with grunts. <input type="checkbox"/> Tries to make supervisor defend work orders. <input type="checkbox"/> Little or no eye contact; turns head to side when spoken to. <input type="checkbox"/> Reluctantly complies by delaying tasks, even after being told more than once to do it.
3. Rude	<input type="checkbox"/> Speaks in an ugly tone and uses foul language. <input type="checkbox"/> Makes hostile gestures. <input type="checkbox"/> Speaks curtly or condescendingly to others. <input type="checkbox"/> Fails to interact during meetings, even when invited to do so. <input type="checkbox"/> Shows signs of exasperation and/or screams in dealing with others. <input type="checkbox"/> Slams down phones. <input type="checkbox"/> Refuses to speak with others; ignores them.

DOCUMENT BEHAVIOR, NOT CONCLUSION OR ATTITUDES

Conclusions	Observable behavior
1. Doesn't work well with others - not a team player	1. _____ 2. _____ 3. _____ 4. _____
2. Does sloppy work	1. _____ 2. _____ 3. _____ 4. _____
3. Divisive behavior – “stirring up things”	1. _____ 2. _____ 3. _____ 4. _____
4. No initiative; lazy	1. _____ 2. _____ 3. _____ 4. _____

PPR Situation # 1

Write what the supervisor involved should record in his or her PPR notes. Try to express the key points simply and briefly. The point is to document the incident in such a way that you can accurately recall it later. (Later, at the PPR review, the supervisor would decide how the various documented incidents affect the employee's rating.)

You are the supervisor in this situation. Chris is your employee.

Employee Performance Log

Employee's Name: _____

Date of entry	Date of occurrence	What happened? Who was involved? (What did you see/hear/experience?)	Your response, if any.	Employee's response, if any.

PPR Situation # 2

You are the supervisor in this situation. Gerry is your employee.

Employee Performance Log

Employee's Name: _____

Date of entry	Date of occurrence	What happened? Who was involved? (What did you see/hear/experience?)	Your response, if any.	Employee's response, if any.

PPR Situation # 3

You are the supervisor in this situation. Sidney is your employee who offers to help.

Employee Performance Log

Employee's Name: _____

Date of entry	Date of occurrence	What happened? Who was involved? (What did you see/hear/experience?)	Your response, if any.	Employee's response, if any.

LEGAL BASIS FOR DISCIPLINARY ACTIONS

(Article X, State Constitution and Chapter 12 of the Civil Service Rules)

Civil Service Appeals

- Civil Service appeals are part of the judicial system. Civil Service appeal opinions may be appealed to the First Circuit Court of Appeals and the, in some cases, to the Louisiana Supreme Court.
 - Civil Service appeals must be in writing. An appeal must be filed within 30 calendar days of one's receiving written notice of the action. If no notice is given, OR if it is tardy, an appeal must be filed within 30 calendar days of the date one learned the action had occurred.
 - Reasons for an appeal include: 1) removal of permanent employees; 2) disciplinary actions; 3) illegal discrimination; and 4) Civil Service rule violations.
 - For appeals based on discrimination, Civil Service Rule 13.11(d) states the types of facts that must be alleged. A conclusion of discrimination is not sufficient. Appeals alleging discrimination for actions which have not taken away property rights, are limited to discrimination based on race, sex, religious or political beliefs. When discrimination is alleged in the taking of property (e.g., disciplinary actions or removal of permanent employees), other non-merit factors may also be alleged, such as age or other non-merit factors.
-

PPR Appeal Process

- Civil Service Rules 10.13 and 10.14 set forth the process to appeal a PPR rating. A permanent employee can have a rating or re-rating reviewed by his appointing authority or his designee. This person is the Reviewer. The Reviewer cannot be the rating supervisor. If the employee disagrees with the Reviewer's decision, he has the right to have his PPR file reviewed by the Civil Service Director or his designee. The agency grievance procedure cannot be used to review or reconsider ratings.

TERMS RELATING TO DISCIPLINARY ACTION



1. **DISCIPLINARY ACTIONS** – Adverse actions taken to punish an employee and to correct, improve, prevent or stop unacceptable job performance or behavior. These actions are as follows. See Rule 12.2(b) and Rule 12.3(a).

- a) Dismissal of a permanent employee
- b) Involuntary demotion
- c) Reduction in pay, either temporary or permanent
- d) Suspension without pay

2. **APPOINTING AUTHORITY** (Rule 1.4) – Disciplinary actions must be taken by an appointing authority. An appointing authority is the agency, department, board or commission and the officers and employees thereof authorized by statute or by lawfully delegated authority to make appointments to positions in the state service.

Most supervisors are not authorized to take disciplinary actions; rather most are in the position to counsel employees, document their behavior and recommend disciplinary action. **Supervisors should find out what actions they are delegated to take, if any.**

3. **CAUSE** –The State Constitution says that no person who has gained permanent status in the classified state or city service shall be subjected to disciplinary action except for cause expressed in writing. “Cause” is conduct which impairs the efficient or orderly operation of the public service. (Rule 1.5.2.01)

4. **IMPAIRMENT TO THE SERVICE** - Harm to the service; that which adversely impacts the service.

5. **DUE PROCESS** – A permanent employee's right to continued employment cannot be taken without affording the employee due process of law. Due process is determined by the courts. It includes PRIOR WRITTEN NOTICE of a disciplinary action and pre-removal/pre-discipline procedures (Rule 12.7).

6. **DETAILED REASONS FOR REMOVAL OR DISCIPLINE OF PERMANENT EMPLOYEES** – Rule 12.8 – Prior notice contains such information as will fully inform the employee of the conduct for which the action is being taken and will enable him to prepare a defense, including, where pertinent, the date, time and place of such conduct and the names of persons directly involved in or affected by such conduct (unless their identities are protected by law, in which case, identification shall be made as permitted by law).

7. **BURDEN OF PROOF**



- a. In disciplinary actions, the burden of proof is upon the appointing authority.
- b. In cases alleging discrimination, the burden of proof rests with the complaining employee.
- c. The level of proof in an appeal is by a preponderance of evidence. This means evidence of a greater weight or more convincing than that offered in opposition to it.

8. **DISCRIMINATION** – No classified employee shall be discriminated against because of his political or religious beliefs, sex or race (State Constitution). A classified employee so discriminated against shall have the right of appeal. The burden of proof on appeal as to the facts, shall be on the employee.

9. **SEVERITY** – The punishment must fit the infraction. Generally, the severity of the impairment or potential impairment to the public service determines the severity of the discipline imposed.

10. **PRE-REMOVAL/PRE-DISCIPLINE PROCEDURE** – (Sometimes referred as the Loudermill procedure from the court case: 1984 U.S. Supreme Court, Cleveland Board of Education vs. Loudermill.) This procedure must be used for permanent employees who are either non-disciplinarily removed or disciplined. They must be given written or oral notice of the proposed action, the reasons for the action, a description of the evidence supporting the proposed action, and a reasonable opportunity for the employee to respond before any action is taken. This serves as an initial safeguard against making a wrong decision. (Rule 12.7)

11. **CONDONEMENT** – If the appointing authority agency is aware of the misconduct and decides not to take disciplinary action, the conduct is considered condoned and may not be used as the basis for future disciplinary actions. Agencies should be prepared to defend a delay in taking disciplinary action of three or more months for conduct of which the appointing authority was aware.

HOWEVER, a supervisor can change from condoning unwanted behavior to setting new standards and instructions that “raise the bar” for conduct and performance! He does not need to be held hostage to the past! He needs to communicate the new standards and instructions to the employees and tell them they will be held accountable for observing them in the future.

12. **PROGRESSIVE DISCIPLINE** – This term is NOT found in the Civil Service Rules. It is NOT always mandatory. There are no Civil Service guidelines addressing the best way to proceed with disciplinary action; each employee’s situation is different. However, a list of steps frequently leading to disciplinary action may include:

- a. Informal meetings and conversations with the employee.
- b. Documented counseling sessions
- c. Letter(s) of counseling and/or warning and/or reprimand
- d. Disciplinary action



However, major incidents of misconduct or poor performance could warrant disciplinary action, including dismissal, for the first incident.

DOCUMENTING FOR DISCIPLINE

1. Document events immediately.
2. Be descriptive and specific. State the conduct for which the action is being taken in sufficient detail to fully inform the employee of the reasons for the action and to allow the employee to prepare a defense (i.e., date, time, place and names of persons directly involved in or affected by the conduct, unless their identities are protected by law, such as residents in state developmental facilities.)

SITUATION

As a Receptionist, Catherine receives all incoming calls for the Director of the agency. Her telephone demeanor is unacceptable.

DOCUMENTATION

(Rational basis)

SUFFICIENT FOR PPR FORM

In late February, you failed to put a caller through to the Director, instead telling him that the Director was not in. You failed to take a message. The Director was in.

You informed a caller last month that it was time for your break when she asked for an appointment with the Director. You told her to call back later.

Last week, there was an urgent call for the Director. You knew he was at the Capitol and had his beeper, but you told the caller that the Director was out all day and made no effort to notify him of the call. It was an important call impacting his talk there to the Budget Office.

(Detailed reasons for cause)

DISCIPLINE (keep in your files)

On February 25, 2005 at 10:15 a.m., Francis Smith called and asked to speak to the Director. You responded that the Director had not come in yet and hung up without offering to take a message. The Director was at his desk when Mr. Smith called.

On February 28, 2005, at 3:30 p.m., Margaret Moore called and asked for an appointment to see the Director. You informed Ms. Moore: "It's time for my break. Call back in about 20 minutes."

On March 15, 2005, at 9:00 a.m., John Temple called for the Director and you responded that he was at a meeting. The caller said it was urgent and asked if the Director was at the budget meeting at the capitol. You responded, "That's none of your business" and you did nothing to arrange for the urgent message to be relayed to the Director. It was an important call impacting his talk there to the Budget Office.

Discipline Situation # 1

You are the supervisor in this situation. Kerry is your employee who gets coffee.

Documentation Log

Employee's Name: _____

Date of entry	Date of occurrence and time	What happened? What did you see, hear, or experience? What persons were involved or were witnesses?	Your response, if any.	Employee's response, if any.

Discipline Situation # 2

You are the supervisor in this situation. Pat is your employee who calls in sick.

Documentation Log

Employee's Name: _____

Date of entry	Date of occurrence and time	What happened? What did you see, hear, or experience? What persons were involved or were witnesses?	Your response, if any.	Employee's response, if any.

APPENDICIES

- APPENDIX A Employee Performance Log**
- APPENDIX B: Assignment Log**
- APPENDIX C: Documentation Log for Discipline**
- APPENDIX D: Sample Improvement Letter**
- APPENDIX E: Sample Supervisory Plan**
- APPENDIX F: Documentation Self-Evaluation**
- APPENDIX G: Contacts at Civil Service**

Appendix A

Employee Performance Log

Employee's Name: _____

Date of entry	Date of occurrence	What happened? Who was involved? What did you see/hear/experience?	Your response, if any.	Employee's response, if any.

Appendix B

Assignment Log for: _____

[illegible]

Appendix C

Documentation Log for Discipline

Employee's Name: _____

Date of entry	Date of occurrence and time	What happened? What did you see/hear/experience? Where did it happen? What persons were involved or were witnesses?	<u>Your response, if any.</u>	<u>Employee's response, if any.</u>

Appendix D

Sample Improvement Letter

Date: Today's date
To: Employee's name
From: Appointing Authority's Name

Last week you were late for work three times. On Monday you arrived at 8:15 a.m.; on Wednesday you arrived at 8:20 a.m.; and on Thursday you arrived at 8:10 a.m.

Your work hours are from 8:00 a.m. to 4:30 p.m. and you are expected to arrive at work on time. You have been counseled on this matter, but your tardiness has continued. Therefore, this letter is an official warning that further tardiness may result in disciplinary action.

This letter is not a disciplinary action. A copy of this letter has been placed only in the supervisory file that is maintained on you. A copy will not be placed in your official personnel file. You may submit to me a written response to this letter. Your response will be attached to the copy of this letter that has been placed in your supervisory file. Your response should be given to me no later than the close of business seven days from now.

Appendix E

SAMPLE SUPERVISORY PLAN

Agency Letterhead

April 2, 2008

**Mr. Sam Jones
Widget Technician
Widget Fabrication Section**

Re: Supervisory Plan

Dear Mr. Jones:

I am placing you on a supervisory plan to help you improve [identify the problematic conduct]. Effective today:

- 1. When supervisory personnel communicate with you, you are to listen and give your full attention to these communications. In addition, when communicating with supervisory personnel, you are to be courteous, refrain from interrupting and from raising your voice to an inappropriate level;**
- 2. If you detect errors and/or omissions in any work assignments of your peers, you are to promptly notify supervisory personnel of the perceived errors(s) and/or omissions;**
- 3. You are to promptly comply with any and all workplace directives or instructions which are not illegal, immoral or unethical given to you by supervisory personnel;**
- 4. If you believe any directive or instruction is illegal, immoral, or unethical or if you disagree or take issue with any of the workplace directives or instructions given to you by supervisory personnel, you may bring such matter(s) to the attention of Mr./Ms. _____, Widget Master. If you are unable to fully resolve the matter(s) with Mr./Ms. _____, you may bring any such matter(s) to the attention of Mr./Ms. _____, Widget Master II. If you are unable to fully resolve the matter(s) with Mr./Ms. _____ Widget Master II, if the matter(s) would be the proper subject of a grievance, you may avail yourself of the grievance procedure set forth in the Department's policy, Policy number: _____.**

SAMPLE SUPERVISORY PLAN

Supervisory Plan for:
Mr. Sam Jones
April 2, 2008
Page 2

5. Prior to October 1, 2008 you are to attend and complete the Comprehensive Public Training Program (CPTP) course entitled "Effective Conflict Resolution Strategies."

This supervisory plan is not a disciplinary action and a copy of it will not be placed in your publicly accessible personnel record. However, failure to comply with this plan may result in disciplinary action.

You have a right to respond to this supervisory plan. Your response will be attached to each copy of this plan that the agency keeps. Should the same or a similar problem recur, this supervisory plan may be used to support the severity of any future discipline in which case a copy of this plan will be included in your publicly accessible personnel file.

Sincerely yours,

Recommended for
Approval by:

Recommended for
Approved by:

Approved by:

1st Line Supervisory

2nd Line Supervisor

Appointing Authority

ACKNOWLEDGEMENT

I hereby acknowledge that I have read and understand the terms of the foregoing supervisory plan.

Sam Jones

Date

Appendix F

Does Your Documentation Support Your Actions?

Place a dot at your level of experience--“0” meaning you don’t know what it is and do not do it and “10” meaning you know what it is and do it regularly. Turn the page horizontally and connect the dots with a line.

	(Beginner ← → Expert)										
	0	1	2	3	4	5	6	7	8	9	10
I understand the difference between the documentation standards for performance and discipline.	–	–	–	–	–	–	–	–	–	–	–
I document objective, factual information on all my employees.	–	–	–	–	–	–	–	–	–	–	–
I collect and record PPR rating documentation throughout the rating period for all my employees.	–	–	–	–	–	–	–	–	–	–	–
I “cc” my supervisor on correspondence to my staff that may be used as documentation to support PPR ratings and/or disciplinary actions.	–	–	–	–	–	–	–	–	–	–	–
I conduct counseling sessions with my staff as needed for both performance and disciplinary matters.	–	–	–	–	–	–	–	–	–	–	–
I model the behavior I expect from my staff.	–	–	–	–	–	–	–	–	–	–	–
Upon request of those in my chain of command, I am able to provide documentation on all my employees.	–	–	–	–	–	–	–	–	–	–	–
I encourage input and questions from my employees regarding their performance.	–	–	–	–	–	–	–	–	–	–	–
I observe my employees and give them timely feedback on their performance.	–	–	–	–	–	–	–	–	–	–	–
I write memos, e-mails, etc. to my employees to let them know about their performance and work related behaviors.	–	–	–	–	–	–	–	–	–	–	–
I keep my supervisor informed about my employees’ work performance.	–	–	–	–	–	–	–	–	–	–	–
When I see that my employees need improvement, I let them know in a helpful manner how they can improve their job performance.	–	–	–	–	–	–	–	–	–	–	–
I document performance and related behaviors for all my employees throughout the year and maintain it in a supervisory file.	–	–	–	–	–	–	–	–	–	–	–
I keep track of all the positive things I receive regarding my employees’ performance.	–	–	–	–	–	–	–	–	–	–	–
When I receive negative information about my employees, I give them a chance to give their side of the story.	–	–	–	–	–	–	–	–	–	–	–
I keep documentation of counseling sessions I have with my employees.	–	–	–	–	–	–	–	–	–	–	–

The three highest points are your greatest strengths regarding your documentation practices and the three lowest are the areas for potential growth. List them below.

Three Greatest Strengths

1. _____
2. _____
3. _____

Three Greatest Needs

1. _____
2. _____
3. _____

DOCUMENTATION RESOURCES

WEBSITE RESOURCES

www.civilservice.louisiana.gov

PPR information can be found following the path: Human Resources Professionals > PPR Resources

Documentation Logs can be found following the path: Human Resources > Job Aids > PPR > Documentation Logs

- **Civil Service Rules**

Chapter 10—PPR

Chapter 12—Disciplinary Actions

- **OTHER INFORMATION**

PPR Job Aids

1. How to Provide Low Cost Recognition
2. How to Provide No Cost Recognition
3. Ways to say “Good Job.”

- **DOWNLOADABLE FORMS**

Performance Planning and Review Form (SF 15)

OTHER RESOURCES

TIPS ON DOCUMENTATION FOR DISCIPLINE:

- 1. Include Everything Relevant**
- 2. Use Descriptive Terms**
- 3. Include How the Action Harmed the Public Service**

Appendix G

Department of State Civil Service

Staffing Division – 225-342-8536

- Recruits state employees.
- Administers exams.
- Develops selection procedures.
- Rates applicants.
- Issues vacancy announcements.
- Issues certificates of eligible candidates.
- Determines minimum qualification requirements for state jobs.
- Monitors and advises HR staffs in the delegation of staffing functions.



Compensation Division – 225-342-8083

- Maintains the classification plan and compensation structure.
- Conducts pay and job studies.
- Processes reallocation requests.
- Write C.S. rules governing classification structure and compensation program.
- Trains Human Resources staffs in compensation procedures.



Program Assistance Division – 225-342-8274

- Provides assistance to agencies in resolving human resources problems, Civil Service rule interpretations, policy development, etc.
- Trains employees statewide.
- Monitors the Performance Planning and Review system.



Program Accountability Division – 225-219-9437

- Assesses agencies' human resources practices.
- Verifies agencies' compliance with Civil Service rules.
- Develops human resources practices benchmarks.
- Recommends action for abuse of or non-compliance with CS rules.



Appeals Division – 225-342-8070

- Schedules, hears and decides Civil Service appeals.

